

**USAID/SPEED Project Short Term Consultancy:
Archivist/Records Manager**

Rehabilitating Records in the Company & Documents Registries: Final Report

Report written for Chemonics International, Inc.



The Missenden Group

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EXECUTIVE SUMMARY

The USAID-funded Support for Private Enterprise Expansion and Development (SPEED) Project commissioned a consultant to analyze current conditions and practices at the Company and Documents Registries located in the Registrar General's Office, Uganda House, Kampala to determine immediate and long-range remedial options and solutions.

A detailed study was carried out of the legal and policy environment (paras 21-28), the intellectual control systems used to manage records in the Company and Documents Registries (paras 35-43) and the physical control and storage facilities (paras 44-59). Staffing capacity was also taken into account (para 60-62). The Registrar should seek guidance from the National Records and Archives Institution for improving the management of its records in the long-term.

Consultancy recommendations for the modernization of the Registrar General's office include computerizing the workflow of the office be in future; including scanning the company records and documents into the system. It is strongly advised that the legal admissibility of digital information be resolved before such a decision is taken.

The study identified scope for improvement in the means of locating and retrieving records (manual and computer) and highlighted weaknesses in physical control. Storage areas are congested and in some cases disorganized. A sample of company registration files revealed that key documents are missing in an unacceptably high number of cases.

Summary of Recommendations

The purpose of these recommendations is to establish a well-functioning Company Registry and Documents Registry, specifically:

- to improve the service to clients by providing faster and more precise retrieval of records
- to strengthen security of company records and documents by changing procedures and improving the physical security and durability of records
- to develop a logistical methodology for transferring records to a new office facility.

With regard to the Company Registry, either the current Access database should be rehabilitated and restored or a new computerized index should be developed and installed. At a minimum, a current back-up of the database contents and a printout should be obtained. If the database's functionality cannot be restored, it is recommended that first consideration be given to the basic module of TRIM Enterprise[®] as the software for automating the index. Appropriate paper and electronic back-up procedures must be introduced to improve the security and preservation of the finding aids.

With regard to Documents Registry, there is no existing index. Accordingly it is recommended that consideration be given to the basic module of TRIM Enterprise[®] as the software for creating an index. Again, appropriate paper and electronic back-up procedures must be introduced.

Improving the security, durability and completeness of the registration records will involve measures designed to:

- prevent the public from removing original documents from the Registry
- place the records in new, sturdier file covers or archival boxes as appropriate
- equip storage facilities to improve fire prevention and environmental conditions
- introduce appropriate preservation measures.

These are discussed in detail in the main body of the report (paras 63-118). Specifically, it should be noted that the fundamental reason for the breakdown of the existing system is the lack of sufficient storage space. Unless adequate space for the registry records is allocated it will be difficult to achieve sustainable improvements. In addition, it is recommended that a disaster recovery plan be designed for the Registrar General's Office.

A detailed work plan is provided, taking into account various options (paras 119-146). A list of commodities and suppliers is provided in Appendix H. These include the cost of casual workers and staff incentives. Before work can begin, the basic program of work and the methodology for processing and transferring records will need to be agreed. An appropriate Ugandan official should assigned responsibility for the progress of the work. It should be noted that key factors in the success of the operation are likely to be stringent supervision of the work against performance standards and appropriate incentives. An audit train will also be important for accountability and to allow mistakes to be rectified, if they occur.

The procedures and methods of work must be tested in a pilot stage. This will allow problems to be identified and necessary adjustments made. It will also provide valuable confirmatory information on what can realistically be achieved within a given time frame, the amount of space and the quantity of supplies that will needed.

It is recommended that the SPEED Company and Documents Registry project involve the Records and Information Technology Department in the Ministry of Public Service which has a formal responsibility for this kind of work within the Ugandan governmental system and moreover has staff with appropriate skills and training.

A monitoring team should be appointed comprising a senior official from the Registrar General's Office, the registry supervisor, and a member of the Records and Information Technology Department of the Ministry of Public Service, to evaluate progress weekly against agreed performance targets and milestones (paras 143-145)

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SECTION ONE: INTRODUCTION

- 1 This assessment and strategy report covers a visit made by Kimberly Barata of The Missenden Group between 9 - 30 August 2001 to support reform of the Company and Documents Registries.

Background

- 2 The USAID-funded Support for Private Enterprise Expansion and Development (SPEED) Project aims to increase access to financial services, create and expand agricultural and non-agricultural enterprises, and strengthen legal and regulatory frameworks for business development in the SME and microfinance sectors. Four components comprise the project:
 - SME Finance
 - Microfinance
 - Business Development Services (BDS)
 - Institutional Environment.
- 3 Supporting reform of the commercial justice system forms part of the Institutional Environment component. In this context SPEED assists the companies and land registries to improve systems and services.
- 4 The Registrar General's Office supplies vital information that enables micro enterprise, SMEs and other businesses to conduct their activities. Many of the older records in the registry are deteriorating or are so compacted on shelves that they are difficult to access. Moreover, the physical infrastructure required to maintain them is in disarray and administrative atrophy. As a result, problems include:
 - lost documents and files
 - poorly functioning indexing and filing systems
 - completely manual operations
 - inadequate storage facilities and office equipment
 - inordinate waiting times for retrieval of records
 - very poor protection of records from environmental factors.
- 5 The Registrar General's Office, including the Company and Documents Registry, is scheduled to relocate its offices to space nearby. The registry is in disarray with missing files. The registry also stores the records pertaining to Business Names.
- 6 The purpose of this visit is to design a methodology for rehabilitating and transferring the records. The Ministry of Justice will contribute space for the records as part of their new office facility. USAID/SPEED is providing funds for the rehabilitation and transfer of the records.

The Task

- 7 SPEED requested technical assistance to conduct an analysis of current conditions and practices at the Company and Documents Registries to determine immediate and long-range remedial options and solutions.

Terms of Reference

- 8 The consultant will be involved in learning the document-related policies and procedures of the three land titling registries.
- 9 The consultant will complete the following tasks:
- become familiar with the administrative and hierarchical authority of the Registrar General's Office registry systems, the conditions, shelf locations, current storage environment, treatment and handling of all documents associated with the Registrar General's Office (with particular attention to the preservation of existing documents)
 - inspect proposed or available storage space
 - determine approximate volumes and type of record which should be subject to archival analysis.
- 10 The consultant will prepare the following deliverables:
- an assessment of current conditions and practices
 - a proposed design for the archives for the new Registrar General's Office, including recommendations for climate control, file storage and security
 - a work plan for the transfer of documents to the new offices of the Registrar General
 - a work plan for the filing, identification and preservation of records within the Registrar General's office and the Companies Registry specifically
 - a list of commodities with estimated costs and availability, in support of options recommended.

Methodology

- 11 The methodology included:
- an examination of previous consultants' reports, legislation, and other relevant documentation
 - interviews with central government officials
 - visits to proposed new office space

- small scale reviews of the completeness of company and documents files.

(See Appendix A for summaries of meetings held.)

- 12 The data collected was analyzed, record keeping strengths and weaknesses identified and specific concerns listed. Possible strategies for the future were outlined and prioritized in terms of what could be achieved in the short and longer terms.
- 13 The findings of the assessment and strategies for the future were discussed with the SPEED officials, including the SPEED consultant with responsibility for advising on the rehabilitation of the Registrar General's Office.

Limitations of Study

- 14 Despite efforts both on the part of the consultant and the staff of the Registrar General's Office, the following limitations of study should be noted.
- 15 The consultant tried to establish performance benchmarks against which comparisons can be made when the new records system is in place. These included the time needed to retrieve a specific folio if the file number is not known. Due to the pressure of work on registry staff, a large study including an appropriately large sampling could not be conducted. No testing could be made of the existing computerized index, as it is no longer functioning. The database allows some limited searching, but it did not provide adequate information for performance benchmarks.
- 16 It was not possible to propose a design for the new registry storage area as no firm commitment had been made to new office facilities.
- 17 The records pertaining to other registration activities carried out by the Registrar General's Office, such as births, marriage and death were excluded from her terms of reference. Accordingly, it has not been possible to arrive at figures for the total storage space required for records by the Registrar General's Office when it moves to its new location. Instead, estimates are provided for records pertaining to Companies', Business Names and Documents' registration.
- 18 The Registrar General's support for recommendations could not be obtained because the Registrar General was largely unavailable.

SECTION TWO: THE COMPANY AND DOCUMENTS REGISTRIES

Current Conditions and Practices

- 19 Most company records must be maintained over time. They are typically active for as long as the company itself exists. Yet the records relating to company and documents registration are currently managed in an inconsistent manner, which makes them difficult to retrieve. Moreover, the some of the records are in a poor physical state, while others are packed so tightly onto shelving that they are virtually inaccessible. The storage facilities that house these records are largely inappropriately equipped, unclean and insecure, which places records at risk from a number of hazards. The loss of these records would damage the system for regulating companies in Uganda.
- 20 Recommendations for rehabilitating the records held in the Company and Documents Registries follow in Section Three.

Legal and Policy Environment

Legal Framework Affecting the Management of Company Records and Documents

- 21 *The Companies Act, 1961* makes numerous statements that refer to the preparation and submission of documents, including ensuring their authentication. Statements also refer to the keeping of any registers, indexes or minute books by a company. There are no statements about who has responsibility for keeping company records in the Registrar General's Office or how they should be kept and for how long.
- 22 The Registration of Documents Act, 1922 is clear about the procedures for the preparation and submission of documents to the Registrar General's Office. Direction is also given on obtaining copies and the legal admissibility of documents and certified copies. The *Act* provides some direction on the number and filing of documents, but does not specify who has responsibility for keeping documents and for how long they should be kept.
- 23 The Documents legislation allows for the Registers (ie 'Abstract Book' described in section 8) to be searched and copies obtained. Furthermore, section 21 states that older Registers must be preserved and be made open for inspection.
- 24 *The National Records and Archives Act, 2001* defines the following terms that are relevant to the management of records held by the Registrar General's Office:

Record means 'recorded information regardless of form or medium created, received and maintained by any institution or individual under its legal obligations or in the transaction of its business and providing evidence of the performance of those obligations or that business.'

Public records means 'records of an official nature belonging to the Republic of Uganda –

- (i) created, received and maintained in any past, present or future organ of State;
- (ii) created, received and maintained in any past, present or future public corporation or parastatal organization;
- (iii) created, received and maintained in any past, present or future local government;
- (iv) in the custody of the Government Archivist at the time of coming into operation of this Act;
- (v) declared to be public records by the Minister by regulations under section 31 of this act.¹

Current records are 'records regularly used for the conduct of the current business of an institution or individual.'

Semi-current records are 'records required only infrequently for the conduct of current business and for the purposes of this Act, files or other assemblies of records on which no action has been recorded for five years shall be regarded as semi-current records.'

Archives are 'records of enduring value selected for permanent preservation.'

Registry means 'the place where current records are managed or maintained.'

- 25 Section 7 of the *Act* sets down the responsibilities of the creators of public records for their proper management and Part V of the Act pertains to local government records and access to archives. The *Act* places responsibility for the management of current records with the Heads of the Organs of State. ***The Registrar should seek guidance from the National Records and Archives Institution for improving the management of its records in the long-term.***
- 26 The *Act* provides for the possibility of transfer of archival records to the National Archives. However, this facility is full and cannot accept the transfer of additional records for long-term preservation. Moreover, there is a question as to whether custody of Company and Documents Registry records should remain with the Registrar General's Office given the on-going administrative value of these records. ***An agreement on the long-term custody of company records and documents should be made between the appropriate individual in the Ministry of Justice and the National Archives.***
- 27 *The Evidence Act* is ambiguous as to whether microfilm or electronic records are admissible as evidence in a court of law. Moreover, there does appear to be any precedents in case law. ***Consultancy recommendations for the modernization of the Registrar General's office include computerizing the workflow of the office be in future; including scanning the company records and documents into the system. It is strongly advised that the legal admissibility of digital information be resolved before such a decision is taken.***

See Appendix B for extracts from the legislation.

¹ Section 31 states that 'The Minister may and on the advice of the Advisory Committee make regulations for giving full effect to the provisions of this Act.'

Decentralization

- 28 In practical terms it is unlikely that decentralization will affect the company and documents registries for several years. There is discussion of the Registrar General's Office becoming an Executive Agency. Legislation has been passed on the creation of Executive Agencies. However, no decision has been taken on whether this Office will indeed become one. A decision on decentralization is unlikely to precede the decision on whether the Registrar General's Office is awarded Executive Agency status.

The Management of Company Records and Documents

- 29 The Registry of Companies is believed to have started in 1960. It is located with other parts of the Registrar General's Office in Uganda House. There are 48,035 companies registered; these comprise corporations, limited partnerships and partnerships. The Registry runs a manual system and all records are stored on site.
- 30 The registration of companies and documents are located together, but serve different purposes. The registration of companies is part of the infrastructure of business regulation whereas the registration of documents is a service offered by the state to the public.
- 31 The company records and documents are publicly accessible. For the Company Registry, each file includes minimally the Memorandum and Articles of Association, Certificate of Registration, A1/Statement of Nominal Capital, and A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company. Records pertaining to the application for business names are also kept in this registry. Documents include powers of attorney, business agreements, and so on.
- 32 See Appendix C for an analysis of the document flows for registering a company and Appendix D for the document flows for registering a document. The records created and received and the documentation controls imposed on these records are included.
- 33 At present registering a company involves cumbersome, antiquated, extensive and repetitive searching. There was a form designed for requesting files and copies of documents, but they have been out of stock for over two years. To conduct a search the clerk requires the file number. If the number is not known then the clerk will try to find the file using the year of registration. This may require the clerk to carry out a random physical search of the files.
- 34 There is a need to improve both the intellectual and physical control of records in these registries to improve service to clients.

Intellectual Control

- 35 Intellectual control refers to the method of indexing records to facilitate access.
- 36 *The creation of an index to the company records and documents would be of significant, singular benefit to improving the efficiency of retrieval.*

Company Registry

- 37 Since 1983 the Company Registry files have been arranged by date in file covers on shelves. Prior to 1983 the files are arranged by strict file number order. That being said, file numbers are assigned sequentially as records are processed, therefore the whole of the holdings are in effect largely by file number order. The business names records are kept largely according to registration number in lever-arch files on shelves.

- 38 Access to files can be obtained either through searching an Access database or by searching a series of file cards. The database is no longer accepting data and is therefore no longer current. The boxes containing the file cards are full, so more recent cards are stored in desk drawers (see Figure 1). The file cards in the boxes are arranged alphabetically by company name. Only the company name and file number is recorded on the card. Registers can be used as the finding aid of last resort. In most cases, however, a 'temporary file' is opened. As a result, there are duplicate files in the holdings.



Figure 1

- 39 Between the company's files and the records of business names, there are approximately 82 boxes of file cards and an undetermined amount of card kept in file drawers.
- 40 A Microsoft Access database contains 40,497 records of data about companies. The database has the potential to provide a searchable index to the company files, and the records clerks do use it for searching. However, as previously stated, the database is no longer current as staff have not been able to enter data for over five months.
- 41 The database has the ability to capture information including:
- date of incorporation
 - name of company
 - company description (ie grantee, unlimited)
 - file number

- nature of business
- address
- physical location (ie block and plot or street and plot number of address)
- telephone number
- fax number
- e-mail address
- name of company 1; name of company 2 (in the event the name changes)
- date last assessed
- officer processing the file
- date of annual return.

Information on Directors can also be recorded, but that section has never been used.

- 42 There is no printout of the database as the consultants who designed it restricted the print function. Back-ups of the database were made onto magnetic data tapes when data was being entered. Back-up tapes are kept on the desktop, as opposed to being kept securely in a fire safe elsewhere in the building. The ability to restore data from a back-up tape has never been tested. Passwords should protect access to the database, but users do not keep the passwords secret.

Documents Registry

- 43 Documents are stored in file covers on shelves according to document number and year (eg 12345/2001). Aside from the registers, there is no finding aid to these records. To find a document the owner would need to provide the registry clerk with the document number if known. Otherwise a search would have to be made of the register looking randomly for the type of document being sought.

Physical Control and Storage Facilities

- 44 Physical control refers to the way in which records are physically filed and the conditions in which they are stored.
- 45 ***Placing records in sturdier file will bring significant benefits in terms of the long-term preservation and control of company and documents records. Storing records on metal shelving and under appropriate environmental conditions will also contribute substantially to the security and preservation of records over time. A regular program of cleaning and maintaining the facility is also critical.***

There are approximately 966 linear feet of company files² and 168 linear feet of Business Names records; making the total 1134 linear feet of records, not including the 'archives' (Rooms 4 and 9 on the 9th Floor). An estimated 220 linear feet of records comprise the archives. There are 129 linear feet of documents in the Documents Registry.

It is impossible to estimate the number of linear feet required to house the registers as only some of them are stored on the top of the shelves and the remainder are buried in the pile of records in room 4 on the 9th floor.

It is estimated that there are currently 49,587 company files in the Registry and 4042 in the archives. At present, the Registry is processing on average 18 registrations per day (a registration can refer to a new company or a transaction that affects a company already registered). At this rate, the Registry could grow by an estimated 60 feet of records per year.

NOTE: Audit for compliance with annual filings is not followed through. Penalties for noncompliance are not sufficient and therefore are often ignored. The issue of strengthening compliance is being investigated. If compliance is more rigorously enforced the volume of records managed by this Registry will increase significantly and rapidly. It is impossible to predict the size of the increase at this stage.

- 46 Staff reckon that the company and documents files date back to the early 1920s. The majority of the records are stored in the Registry. The Registry measures approximately 17x58 feet and the records storage area occupies nearly 2/3rds of the room. Some of the shelving available is damaged and therefore not used. As a result, most of the records are very tightly packed on the shelving and are extremely difficult to remove. Once removed, it is even more difficult to return them to their place on the shelf. In some cases records are on the floor. Misplaced files are common.



Figure 2

- 47 The file folders used to store the company and documents records are flimsy and provide inadequate protection for the records. Moreover, as the records are tightly packed, these covers can be easily torn (see Figure 2). Shelving is poor. Although it is

²The files measure 920 linear feet of company files, but 5% has been added because the files are extremely compact.

constructed using a steel frame, the shelf is wood. Wooden shelving should never be used because it is a fire hazard. There is no ability to control the temperature of the room, although some windows are often left open to allow air to circulate. The room does not contain smoke detectors or fire extinguishers. There does not appear to be any regular cleaning or maintenance of the storage facilities.

- 48 The records themselves are in reasonable condition. The contents of documents files may vary, but each company file should contain minimally the Memorandum and Articles of Agreement, Forms A1 and A2 and the Certificate of Registration. A random sample of files shows that records are often missing.



Figure 3

- 49 Business Names are stored in lever-arch files on shelves in the main work area. In some cases documents are tearing in the binders (see Figure 3).

- 50 Some of the more recent Registers are piled on top of shelves. In most cases the spines are broken and pages are dusty, or in some instances folded or tearing. However, the pages remain largely in tact and readable. The remaining Registers are buried underneath a pile of records in Room 4 on the 9th floor and are therefore inaccessible (see Figure 4). It was not possible to ascertain their condition.

- 51 Members of the public who enter the Registry face the records. Staff members' desks, lined up to form a counter, provide the only restriction on access to the records.

- 52 Registry files should not be allowed to leave the Registry. However, members of the public often take the file away with them to have documents copied (the Registry is often not able to make copies because of insufficient equipment). The intention is for these files to be returned to the Registry. The office does not track to who or when files are given out.

- 53 Files are also moved between the Registry and the State Attorneys' offices as part of the course of work. This movement is not tracked.

- 54 Not all of the records are stored in the Registry. In 1998, a consultancy group advised that files not used for 10 years be weeded and transferred to two storage rooms on the ninth floor of the building (rooms 4 and 9, see Figures 4 and 5 respectively). Over 4000 files were weeded



Figure 4

from the holdings.³

- 55 The weeded files were bundled by volume and assigned a volume number. A transfer list was laid on the top of a volume and the volume tied together with string. In many cases the transfer lists have been torn off. The volumes are not kept in order.

- 56 The files in Room 4 (Figure 4) form a pile approximately 14 feet wide and 6 feet across. The piles of records are strewn with rat droppings and poisoned fish heads to kill the rats. Many of the files themselves are tearing or are torn and are very dusty. There is no ventilation in this room. The door is usually locked.



Figure 5

- 57 Some of the files in storage room 9 have been placed on shelving, but the majority are 'dumped' in piles on the floor (Figure 5). The room is dirty and poisoned fish heads intended to kill rats are piled in one corner by the window. The windows are left open and some records are showing damage from humidity. The door is not locked. Storage room #9 also contains files belonging to Asian owned companies from the 1970s. These files are kept on shelving according to company number order. There are approximately 46 linear feet of these records.
- 58 No fire extinguishers are located nearby to either storage room.
- 59 According to staff, there is a master transfer list, which details the volumes transferred. However, a copy of this list was not produced.

Staff Capacity

- 60 *There is a need to improve training in records management practices in the Company and Documents Registries. In particular all staff should be trained in basic records management procedures, including regular housekeeping practices, the recognition and identification of missing records, loose pages and the need for re-folding. At least one member of the senior records staff should be qualified beyond the non-graduate level to ensure that the new practices and facilities are sustainable.*
- 61 There is no professional staff (ie individuals with a BA in the social sciences or the arts or a BSc in information technology) working in the Company or Documents Registries. The highest-ranking non-graduate post held by a staff member in each of

³ The Records and Information Technology Department of the Ministry of Public Service exists to provide guidance on the management of records in government, in particular they advise on the selection of files for transfer and the transfer of those files. The weeding and transfer exercise was not done in consultation with the Records and Information Technology Department.

these registries is Senior Assistant Records Officer, of which there is only one. The salary range for a Senior Assistant Records Officer is approximately Ush 3,286,560 – 4,075,080 (US\$1933 – 2397) per year. A Records Assistant II, the lowest grade held by records staff in the registries, earns between Ush 1,208,159 – 1,261,196 (US\$710 – 742) per year.

- 62 Training is now available to the records cadre through either the Uganda Management Institute or the Uganda Management Training and Advisory Center. Courses are organized by the Ministry of Public Service. A Certificate of Attendance in registry procedures is available from both institutions and a diploma course is now available at the Uganda Management Institute. However, these courses only help staff to move through the non-graduate ranks from Records Assistant II to Senior Assistant Records Officer. A BA or BSc is required to achieve the rank of Records Officer. Few staff have participated in these programs.

SECTION THREE: RECOMMENDATIONS

- 63 The purpose of these recommendations is to establish a well-functioning company and documents registry. Within this context the key objectives should be:
- to improve the service to clients by providing faster and more precise retrieval of records
 - to strengthen security of company records and documents by changing procedures and improving the physical security and durability of records
 - to develop a logistical methodology for transferring records to a new office facility.
- 64 In addition, for sustainability purposes, the systems recommended must be simple, robust and easy to maintain.
- 65 Simply producing an index to the records can make a significant impact on service delivery and efficient use of resources. Computerizing the intellectual control is the most effective means of achieving this objective.
- 66 Improving the durability of company records and documents can be achieved through a combination of measures designed to protect the records against fire, theft, and mechanical damage through excessive use. This is fundamental because company records and documents need to last for very long periods of time and would be difficult to replace in the event of a major disaster. The measures recommended include better quality shelving, equipment and supplies, more stringent fire protection measures and environmental controls, regular cleaning of storage areas and appropriate back-up and storage of computer files. Computerization of an index will also reduce opportunities for graft.
- 67 Training staff in basic registry procedures will help to sustain changes over time.
- 68 It should be accepted that any approach taken to removing records, re-folding them, entering index information into a database and transferring them to a new facility will be labor intensive and will take a great investment of time.
- 69 The scope for problems to occur is significant and careful consideration must be given to a number of risks including:
- preventing documents from becoming mixed up if they are removed from their current folders
 - stopping staff from removing inconvenient documents during the process and then holding the project responsible
 - staff becoming bored and either giving up or simply not performing to standard (incentives to staff will be needed to counter this risk).
- 70 Tight performance standards should be in place with regard to speed, accuracy and security during this process.

- 71 It is recommended that the SPEED Company and Documents Registry project involve the Records and Information Technology Department in the Ministry of Public Service in the program for extracting, processing and eventually transferring the company records and documents to the new Registrar General's Office facilities. In particular, Mr Robert Okusam, Assistant Commissioner, Records and Information Technology, is familiar with the workshop methodology commonly applied to the restructuring of central open registries. Mr Okusam can provide guidance in adapting this methodology to the needs of the Registrar General's Office and can offer valuable insights into what can go wrong during such an undertaking. The Records and Information Technology Department should also be involved in the training of staff to manage records.
- 72 Participants should agree the methodology being proposed, which includes the Acting Registrar General.
- 73 It is recommended that there be a short testing phase to check whether the procedures really work, and if not to make adjustments where necessary. This will have an impact on the training and work program. A week-long pilot should be carried out prior to commencing the actual rehabilitation process.

Improving Speed and Accuracy of Retrieval

- 74 A current and comprehensive index is needed to facilitate access to the company records in the Company Registry and to the documents in the Documents Registry.

Company Registry

- 75 There is no up-to-date index of the company records.
- 76 Initially, file cards provided an index to the holdings. The practice of typing up file cards has not stopped. However, there is no more room to store them, and they are now being kept at random in desk drawers. The Access database should have replaced the need for file cards, but file card system remained as a shadow system after the implementation of the database. The database is no longer accepting data, but is still being used to facilitate searching. The Registries provide the most comprehensive information on company records, but they are cumbersome to search.
- 77 Either the current Access database should be rehabilitated and restored or a new computerized index should be developed and installed. Attempts during the field assessment to find out why the database is no longer operational failed. However, further discussion with the original programmers should take place. In particular, there is concern that the original programmers deleted files to free up space to allow the database to function. This was not done with any authorization from USAID/SPEED or the Registrar General's Office. Part of the discussion should be to determine whether indeed files were deleted and, if so, what was deleted. There is a risk that deleting files can corrupt the integrity of the database.

- 78 At a minimum, a current back-up of the database contents and a printout should be obtained.
- 79 If the database's functionality cannot be restored, it is recommended that first consideration be given to the basic module of TRIM Enterprise[®] as the software for automating the index. TRIM is an off-the-shelf package that can be customized relatively easily to the needs of the Company and Documents Registries. The local TRIM representatives (ComputerLand) would need to do a more comprehensive user analysis before committing to a specific time frame for customizing the index. However, this consultant estimates that the analysis and customization of the index could be achieved in 6-8 weeks. In addition, ComputerLand can provide training and support for TRIM software in Kampala. It is likely that, in time, additional modules can be added that might support efforts to automate workflow in the Registrar General's Department. TRIM meets the USA Department of Defense Records Management Applications Standard 5015.2 (<http://jtc.fhu.disa.mil/recmgt/#standard>) and is used in several US Government Departments.
- 80 See Appendix # for a summary of automation options and alternatives.
- 81 A paper copy of the index should be printed at regular intervals as a back up in the event the system fails or cannot be accessed due to power shortages. Regular back-ups of the index should be made daily, weekly and monthly and stored in a fire safe either elsewhere on the premises, or ideally off-site. Tests to restore data should be performed at regular intervals.
- 82 The primary key to the index should be the file number. Other attributes should include:
- company name
 - name/s of principal/s (eg directors, partners, board members)
 - date of registration.
- 83 Inclusion of these attributes will provide better intellectual control and facilitate easier and more efficient access. The final list of index terms should be discussed with stakeholders, including the Acting Registrar General. Input from a staff member with responsibility for registering records and retrieving files might also be useful to ensure an appropriate 'trade off' between effort of data entry and benefit.
- 84 The index's functionality must include:
- searching by file number
 - searching by company name
 - searching by principal's name
 - 'sounds like' searching on a principal's name
 - identifying duplicate files⁴
 - printing a copy of the index

⁴ When a file cannot be located a temporary file is often opened for the same company or document. The system will need to be able to identify these duplicates.

- printing a report of duplicate records
 - printing a report of file numbers
 - printing a report of missing file numbers.
- 85 A robust computerized index would mean that the original order of the records could be maintained.
- 86 The Registers should provide the main source of information for data entry. It was estimated by staff that the Registers would provide a more comprehensive listing of the total holdings of the Registries (ie approximately 95%). Staff felt that the file cards and database were much less complete. If the Registers are to be used for data entry then older registers will need to be recovered from storage room 4 on the 9th floor.

Documents Registry

- 87 There is no index to the documents.
- 88 It is recommended that, as with the Company Registry, first consideration is given to the basic module of TRIM Enterprise[®] as the software for automating the index.
- 89 A paper copy of the index should be printed at regular intervals as a back up in the event the system fails or cannot be accessed due to power shortages. Regular back-ups of the index should be made daily, weekly and monthly and stored in a fire safe either elsewhere on the premises, or ideally off-site. Tests to restore data should be performed at regular intervals.
- 90 The primary key to the index should be the document number. Other attributes should include:
- document type
 - name/s of relevant individuals (eg name of individual granting power of attorney and name of person to whom power is granted)
 - date of registration.
- 91 Inclusion of these attributes will provide better intellectual control and facilitate easier and more efficient access. The final list of index terms should be discussed with stakeholders, including the Acting Registrar General. Input from a staff member with responsibility for registering records and retrieving files might also be useful to ensure an appropriate 'trade off' between effort of data entry and benefit.
- 92 The index's functionality must include:
- searching by file number
 - searching by document type
 - searching by name
 - 'sounds like' searching on a name

- identifying duplicate files⁵
- printing a copy of the index
- printing a report of duplicate records
- printing a report of file numbers
- printing a report of missing file numbers.

NOTE: It is recommended that the index database also have the ability to capacity to track movement of files. This takes the functionality of the database to a higher level and should be agreed with the Acting Registrar General minimally.

- 93 A robust computerized index would mean that the original order of the records could be maintained.
- 94 The Documents Registers should provide the main source of information for data entry. If the Registers are to be used for data entry then older registers will need to be recovered from storage room 4 on the 9th floor.

Improving the Security, Durability and Completeness of Registration Records

- 95 Improving the physical control of the registration records includes:
- preventing the public from removing original documents from the Registry
 - placing the records in new, sturdier file covers or archival boxes as appropriate
 - equipping storage facilities to improve fire prevention and environmental conditions
 - considering appropriate preservation measures.

Preventing Removal of Original Documents from the Registry

- 96 Under no circumstance should members of the public be permitted to remove individual records or files from the Registry to make photocopies of them.
- 97 A good quality, high-volume photocopier should be purchased for the Registry to provide copies on site. The copier should operated by staff and be located behind the counter. Provision should be made to ensure that the copier is maintained regularly.
- 98 Procedures should be amended to ensure that no original registration records belonging to the Registry are given out to the public. This would obviously not pertain to the distribution of certified copies.

⁵ When a file cannot be located a temporary file is often opened for the same company or document. The system will need to be able to identify these duplicates.

Placing Records in New File Covers or Archival Boxes

- 99 Simply re-filing records in more durable file covers and would represent a significant achievement toward improving the durability of the records.
- 100 Good quality foolscap size file covers with integral plastic prongs (ie a three part clip to hold papers securely) should be procured. These should be preprinted with a design agreed in advance (see Appendix F for a sample design). A competitive quotation was obtained from the Uganda Publishing and Printing Corporation (UPPC) for file covers. However, the materials are not available locally. Paper for the covers will have to be procured from the United Kingdom through Nairobi. Integral plastic prongs are not available through UPPC, only metal which can rust in the humidity and cause damage to the records. See Commodities list for a price comparison between UPPC and a UK-based company.
- 101 The Company Registry, in particular, has a history of problems with records becoming lost. It is recommended that as files are re-covered, documents are numbered in the upper right hand corner to make it easier to identify where records have gone missing.

Equipping Storage Facilities to Improve Fire Prevention and Environmental Conditions

- 102 The fundamental reason for the breakdown of the existing system is the lack of sufficient storage space.
- 103 At this time, it is not possible to design a new facility to house the records as a decision has yet to be finalized about the new location.
- 104 It is unclear whether a new storage facility will house only the Company and Documents Registries' files, or whether other registries such as those for births, deaths and marriages, will also be stored in the same location. This affects the size needed to store the records and provide room for growth. The space provided for the Company Registry will need to accommodate 1300 linear feet of company records and business names files. It is impossible to predict the volume require for growth should compliance with annual filings be enforced. Space to accommodate an approximate 650 liner feet should be added as a conservative estimate (ie 10% of current holdings x 5 years). There is an estimated 129 linear feet of documents that will also need to be accommodated, plus approximately 60 linear feet for growth (same calculation applies). The space will therefore need to sufficient for housing 2150 linear feet of records *minimally*.
- 105 Standard commercial static steel shelving bays measure 3' wide by 7.25' high and have a depth of 15 inches. For standard rolled edge shelving, the shelf pitch should be 15" high to accommodate foolscap size files. On average a bay might accommodate between 15 and 20 linear feet of records.
- 106 There should be a minimum 3' corridor between shelves to allow a cart to pass and individuals to comfortably remove files using a step latter or kick stool.

107 The new facility should take account of the requirements for adequate security, climate control, pest control furnishing and equipment and fire and disaster prevention for the storage of records.

108 Most importantly the storage areas must be kept clean. A routine program of dusting and cleaning should be in place and be supervised. Dustcloths, brooms and other cleaning materials should be purchased and kept nearby.

109 *Security*

- records storage areas should not be visible to the public and members of the public should be restricted from accessing these areas (the number of keyholders should be limited and recorded and a key control system should be in place to prevent unauthorized access)
- entrances to the facility should be locked
- windows should have bars.

110 *Climate Control*

- the room must provide for adequate air flow⁶ (the location of vents should be checked and regular efforts should be made to ensure they are never blocked)
- fans should be installed to improve air flow
- the room should be monitored for temperature and RH changes (a hygrothermograph and thermometer should be purchased at minimum)
- blinds/shades should cover windows during periods of direct light (someone should be assigned responsibility for closing and opening blinds/shades)
- where possible holdings should be located away from direct light.

111 *Pest control*

- if storage facilities are located on the ground floor, plants should be minimally 18" from the building
- food should be prohibited from being eaten in the storage areas
- insect traps should be purchased and a regular program of pest inspection developed.

112 *Furnishing and Equipment*

- shelving should be made of steel, ideally with a baked enamel finish. the bottom shelf should be located no less than 4 feet off the ground, to prevent records be damaged by mopping of floors
- good quality foolscap file covers with integral plastic clips

⁶ Basements should never be used to store records, as there is poor air circulation and a risk of damage from dampness.

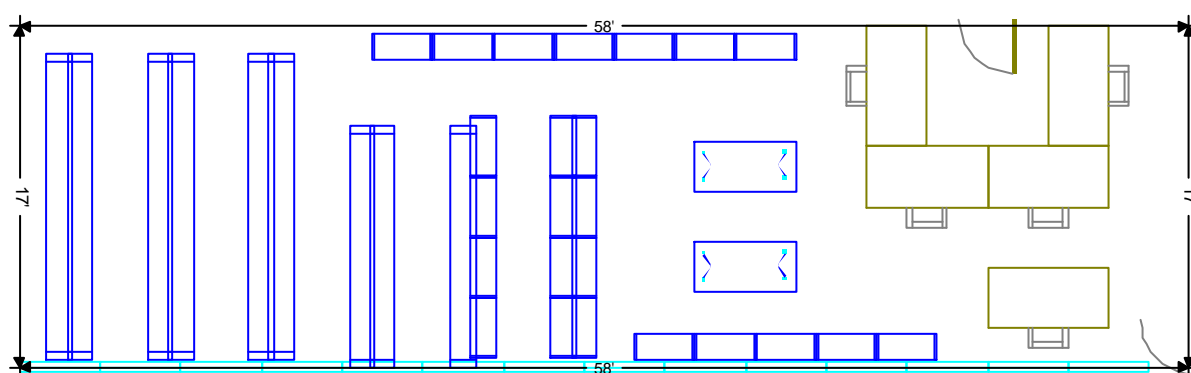
- book trolley
- moveable kick stool and step ladders
- permanent wide tip black markers for writing file numbers on covers.

113 *Fire and disaster prevention*

- fire extinguishers should be mounted in accessible places and staff trained in their use
- fire extinguishers should be inspected regularly by the fire department
- fire detectors should be purchased, installed and checked regularly
- electrical wiring should be checked
- records should not be located below or adjacent to sinks, restrooms and other water sources (including pipes)

114 An architect should be consulted to ensure that the space has adequate floor loading for the volume of records to be stored there. A quantity surveyor may be of use to assess whether the space is adequate in terms of square footage.

115 If the Company and Documents Registries will not be moving in the next year, consideration should be given to purchasing shelving as described above to maximize use of the existing space and allow for work to begin on re-folding the holdings. The office across from the Acting Registrar General's office that is currently used by SPEED consultants could provide additional processing space. The diagram below offers one possible solution for reconfiguring the office. The smaller shelving units represent standard 3' bays. The spacing between shelves is only 2' which is not ideal. It will be difficult to move a cart between the parallel shelving units. However, a cart could be brought up until the point where the three long units to the left begin. File cards can be moved to shelving along the window, which would free up additional table space for processing. Staff would have to enter and leave the room by the entrance on the lower right-hand side. The public could continue to enter by the main door on the upper right hand side.



Considering Appropriate Preservation Measures

116 The scanning of documents should not be a priority at this stage.

- 117 Instead, emphasis should be placed on laying the foundation for good preservation of the originals; this includes using durable file covers, good quality paper, and metal shelving. Ensuring adequate air circulation and regular cleaning of the facilities is also very important. Fire and disaster prevention is critical. ***It is recommended that a disaster recovery program be designed for the Registrar General's Office records storage facility.***
- 118 Careful consideration should be given to whether this activity is appropriate as part of the plans to automate the Registrar General's workflow. The legal admissibility of electronic records will need to be resolved (see para 27). Office staff have weak computer skills and there is no capacity to manage electronic records over time.

Work Plan

- 119 Before work can begin, the basic program of work and the methodology for processing and transferring records will need to be agreed.
- 120 Once the basic methodology is agreed, a short testing phase should be planned and carried out to check whether the procedures work well and, if not, make adjustments where necessary. This will have an impact on the final version of the work plan.
- 121 The overall plan comprises three stages:
- Preparation
 - Processing and Transfer
 - Monitoring and Evaluation.
- 122 See Appendix G for a Gantt chart that lists the tasks involved in the preparation, processing and transfer and monitoring and evaluation stages and the individuals responsible for delivery of those tasks. The Gantt chart illustrates the relationship between tasks and the estimated time required to complete them.

Preparation

- 123 Preparation activities largely address:
- testing of the methodology
 - procuring equipment and supplies
 - commissioning of the database or repairs to the existing one, extracting Registers from room 4 on the 9th floor, and entering or validating the data as appropriate.
 - preparing the facilities
 - developing and delivering training and the materials to reinforce training over time.
- 124 This is a critical stage because it lays the foundation for the success of the processing and transfer stage.

Processing and Transfer

- 125 There is very little space available for processing company records and documents in the Registry.
- 126 If a new location is agreed and the processing is part of a general office move, then repairs should be made to the disused shelving behind the business names and documents shelves. Most, if not all, of the card files could be moved to this shelving, which would free up minimally three tables of space in the registry for processing.
- 127 If the decision is to begin processing prior to the move being agreed, then an office able to accommodate 5 individuals working with space to store boxes of processed records needs to be found in the building.
- 128 Irrespective of whether the records are moved to a new location in the near future or whether efforts will focus on maximizing existing space, the methodology for processing records will remain the same. The methodology for transferring records will vary slightly.
- 129 A step-by-step approach is recommended for the processing and transfer of company records and documents.
- 130 For the Company Registry, data from the Registers should be either input into the new database or checked off against the existing database before work begins on the physical files. A printout of duplicate files should be made for reference by processing clerks.
- 131 With regard to processing the physical files, it is recommended that the records remain in their original order. Duplicate files should be reconciled and a note made in the database giving the number of the original file (eg file number 100 has been combined with file number 10 – see file number 10).
- 132 A decision must be taken whether to re-incorporate files weeded from the holdings in the past by a previous consultancy exercise or not. The individual with responsibility for records in the Ministry (see para 25) should work with the Records and Information Technology Department of the Ministry of Public Service on this issue. This discussion should also focus on whether, in principle, records should be weeded from the holding, and if so, whether they would need to be stored elsewhere or whether they can be destroyed.
- 133 Staff will work through the files beginning with the most recent volume. The short testing phase should help to determine the amount of records that can be processed each day.

134 The process should be to:

- STEP 1 obtain two printouts of x number of files (enough for one person to process in one day)
- STEP 2 check printout for duplicate files and annotate both printouts if duplicates are found
- STEP 3 remove x number of files from the shelves; checking the files off against the printout (if there are duplicate files in existence, these should be pulled as well)
- STEP 4 place the files in a storage box
- STEP 5 sign both copies of the printout, noting the name of the clerk to whom they will be given.
- STEP 6 transfer the box of files and one copy of the printout to the processing clerk who will check and sign for receipt of the files listed on the printout
- STEP 7 remove the current file cover (if there are files to be reconciled these should be combined into one file)
- STEP 8 replace with a new file cover
- STEP 9 punch holes in the documents and fasten the documents to the file using the plastic prongs
- STEP 10 write the appropriate file number in black marker on the file cover
- STEP 11 place the files in number order back into the box
- STEP 12 check off the files being returned on the printout and sign and place the printout inside the box. The box should be numbered sequentially. There should be a form listing the number of the box, who had responsibility processing the records, the date the box was put into storage and the date it was transferred to the new facility
- STEP 13 transfer the box of files and the printout to storage to await being moved. If the files are being returned to the shelves, then the box will transfer back to the Registry, be signed for and the files placed on the shelves.

NOTE: Carbon paper should be used to reduce the amount of copying of lists.

135 Files that are being transferred to the new facility will need to be locked up until it is time for them to transfer. Individuals with access to this room should be few and authorization for their access recorded; access to keys should be restricted. Records should be transferred to the new facility on Tuesdays and Thursdays. Two copies of a master transfer list should be made that list each box and its contents. Boxes should be ticked off against the first copy of the master list as they are being loaded into the transportation vehicle. The clerk responsible for the boxes while they are custody of the Ministry should sign the master list after the boxes are loaded in the van and the van is sealed. The driver of the van should sign for the safe receipt of the boxes. The second copy of the master list (unticked and unsigned) should be given to the driver.

- 136 When the van reaches the new facility, the company or documents registry clerk with responsibility for the records should sign that the van is sealed and tick off the boxes received against the master list. Once all the boxes are received and deposited into the new facility. The driver should sign that the boxes were delivered.
- 137 Twice a week the supervisor should make a comparison between the first and second copies of the master lists and if they are okay file them. If not, he/she should investigate.

General Issues

- 138 *Strong supervision is critical to the success of this project.* One individual (ie a Ugandan official) has to be held accountable for the progress of the work. It is important that the Registrar General's Office appoint an appropriate senior official to take on this responsibility.
- 139 Posters should be produced that outline the process described above simply and clearly.
- 140 It will be critical to maintain an audit trail of who did what in order to reduce mistakes and, if necessary, rectify problems later.
- 141 Registry staff will need to continue to work throughout this process. As a result, tight control must be maintained to allow staff to track records when required. If records are to be transferred to the new facility at the end of processing, it is recommended that this process begin with an intense 'workshop' where the last 3-5 years of records are identified, processed and transferred.
- 142 The project should address only one registry at a time to prevent further confusion of the records. It is recommended that work begin with the Documents as these will be fairly easy to clear comparatively. The company files should follow, with the business names records being tidied last. The business names records are stored in lever-arch files and do not need to be housed in file covers.

Monitoring

- 143 During the rehabilitation process monitoring must be continuous. A monitoring team consisting of a senior official from the Registrar General's Office, the Registry supervisor, and a member of the Records and Information Technology Department of the Ministry of Public Service, with oversight by an external consultant, should evaluate progress weekly against agreed performance targets and milestones. A report should be submitted every fortnight.
- 144 After the rehabilitation process is complete and the new facility established, frequent contact with records offices is essential if the new systems and improvements are to be sustained. A monitoring group should consist of a senior official from the Registrar General's Office and, a member of the Records and Information Technology

Department of the Ministry of Public Service. Monitoring can be achieved by visiting the registry at once a month and having regular contact by telephone.

- 145 It is recommended that the monitoring group and the external consultant, as a matter of urgency, draw up a monitoring program so that the group can begin working according to a plan and targets. The program will need to be submitted to the Acting Registrar General and the Project Facilitator (ie USAID/SPEED) for discussion and agreement.

Commodities Required

- 146 See Appendix H for a commodities list.

APPENDIX A

Summary of Meetings

SPEED Project, Company and Document Registry

(NOTE: 10 – 17 August 2001 was spent working on the Land Registry component).

20 August 2001

Ms Fiona Bayiga, Senior States Attorney, Register General's Department, Ministry of Justice
Mr Malinga, Office Superintendent, Register General's Department, Ministry of Justice
Mr Mike McGuinness, Property Services Ltd.

Provided a tour of the building under construction that will house the new facilities for the Department, including the registry facilities.

Ms Bayiga introduced me to the individual in charge of the company and document registry. Arrangements to discuss further the processes carried out by the registry were made.

A brief discussion of the relevant legislation and legislative instruments that affect the company and documents registry were discussed, including the effect decentralisation might have on the department.

Mr R Okusam, Asst. Commissioner Records & Information Systems, Min. of Public Service
Briefed Mr Okusam about progress on the project. Discussed areas of overlap between what the land and company/documents registry restructuring exercise are trying to achieve and what his programme is aiming toward. An agreement was made to bring the relevant stakeholder from the Ministry of Public Service and from the SPEED project together to discuss areas of co-operation.

Suppliers and service providers used by Mr Okusam for the restructuring of the open registries in the ministries throughout government were provided to me. Methodologies used during the decongestion of these registries were discussed in full. Much of the methodology will not apply in the context of the land and company registries, but the use of a quantity surveyor may prove to help in resolving the issue of quantity title records for Kampala district.

21 August 2001

Mr O Vitale, Senior Records Assistant I, Company and Documents Registries, Registrar General's Department, Ministry of Justice
Mr F Settumba, Records Assistant, Company and Documents Registries, Registrar General's Department, Ministry of Justice
Ms M Kiyimba, Office Attendant, Company and Documents Registries, Registrar General's Department, Ministry of Justice
Ms C Acham, Copy Typist, Company and Documents Registries, Registrar General's Department, Ministry of Justice

Discussed in depth the processes for registering a company name, registering a company and answering queries. The same was done for registering and searching for a registered document.

Viewed and took measurement of all storage areas for company and documents records, including two 'archive' storage facilities on the 9th floor.

Mr C C Muyingo, Acting Director, Efficiency and Quality Assurance Directorate, Ministry of Public Service

Mr R Okusam, Asst. Commissioner Records & Information Systems, Min. of Public Service

Mr D Veal and Mr B Jameson from the SPEED project were also present. Mr Veal provided an overview of the SPEED project, I presented an overview of the situation with the land and company registries and where co-operation would be most useful from Mr Okusam's area. These areas include training, the development of records schedules, and general input as the official with responsibility for current records in government. Mr Jameson introduced the issue of the new Archives Act and raised areas of concern as to how the Act relates to the work of the company registry. It was agreed that SPEED will write to the Ministry of Public Service to request formally Mr Okusam's input. The need for additional meetings, particularly between Mr Okusam, Mr Jameson and myself were agreed and will be arranged the following day.

22 August 2001

Mr Bruce Jameson, Consultant

Discussed at length the analysis of document flow that I compiled the previous day. In addition, the form and contents of the index and plans to equip the company registry were considered.

Mr R Okusam, Asst. Commissioner Records & Information Systems, Min. of Public Service

Mr Jameson and I reviewed the new Archives Act in detail with Mr Okusam.

The availability in Uganda of standard archive document boxes was also discussed.

23 August 2001

Bhoomi Enterprises Ltd

Delux Stationers

Eliana Agencies

Prime General Supply

Prime Index

The Leading Edge

Investigating availability of stationery.

Kazinga Channel
Multiple Options
Prime Index
Supreme
Roko Kawempe

Investigating availability of shelving and counters.

24 August 2001

Ms Fiona Bayiga, Senior States Attorney, Register General's Department, Ministry of Justice
Further discussion of the future plans of the Department.

Mr Hannington S Kasule, Office Supervisor, Companies Registry
Mr Daniel Openjumungu, Office Supervisor, Births and Deaths Registry
Discussion on future plans for the Department's facilities and current stationery suppliers.

Mr F Settumba, Records Assistant, Company and Documents Registries, Registrar General's Department, Ministry of Justice

Photographed current registry facilities and rooms 4 and 9 on the 9th floor.

Took approximate square footage measurements of current facilities.

Reviewed aspects of the processes carried out in the registries.

Discussed how to obtain the best list of companies registered. Mr Settumba indicated that using the registers (past and present) would provide 95% of the names. Use of the cards or database as the primary reference point would be less accurate.

27 August 2001

Mr Karim N J Mawji and Mr Jones Lukose, TRIM Consultants, Computerland (U) Ltd.
Discussed whether TRIM was an option of consideration when automating the registry's index.

Mr R Okusam, Asst. Commissioner Records & Information Systems, Min. of Public Service
Further discussions on the capacity of this department to provide guidance and support for the processing and transfer of the Companies and Documents Registries. Remuneration for short-term casual workers and incentives for registry staff were raised. The content of current registry procedures training and the Registry Procedures Manual were examined.

28 August 2001

Ms Elizabeth Nassali, Sales Representative, and Mr John Masinga, Tumpeco Ltd.
Discussed specification for shelving and requested a quotation.

Steven Mukwana, Uganda Printing and Publishing Corporation

Discussed availability of more durable file covers for the registry. UPPC has supplied file covers to the central registries in government in the past. He will provide a quote.

Mr Jude Mechery, MFI Office Solutions

Discussed the provision of computer hardware, software and peripherals.

Ms. Helen Anokbouggo, Commissioner, Uganda Computer Services

Mr Moses Yolyanaye, Assistant Commissioner / Customer Practices, Quality Services

Mr Mofaht Nasaba, Senior Quality Analyst

Mr Othello Wilbert, Senior Customer Services Representative

Mr Arthur Mngweri, Senior Practices Analyst

Discussed the feasibility of UCS developing the automated index for the registries in either Microsoft Access or Microsoft SQL with an Access front. The provision of training was also considered. UCS has facilities to train 7-10 people at one time. It was agreed that training should begin with computer skills (ie how to turn on a PC and use the keyboard and so on) through an introduction to Microsoft Windows to how to use the database that is developed.

29 August 2001

Mr Steven Kisingiri, British Council

Mr Kisingiri has been involved with DfID records programmes in the past. He was consulted on the basis of his experience with particular vendors and supplies in the past. Recommendations were obtained.

A.L Yadave, Amrat Limited

Quotations for supplies were obtained.

Mr Karim N J Mawji and Mr Jones Lukose, TRIM Consultants, Computerland (U) Ltd.

Follow-up discussion on the requirements for the automated index.

Mr Jude Mechery, MFI Office Solutions

Follow-up on requirements for quotation.

Ms Elizabeth Nassali, Sales Representative, and Mr John Masinga, Tumpeco Ltd.

Follow-up on quotation for shelving.

Steven Mukwana, Uganda Printing and Publishing Company

Follow-up on quotation for file covers.

APPENDIX B

Legislation Affecting the Management of Land Records in the Government of Uganda

The following legislation was reviewed, but not all proved useful:

- The Companies Act, 1961
- The Registration of Document's Act, 1922
- The National Records and Archives Act, 2001
- The Evidence Act
- The Penal Code Act.

Extracts from the legislation that affect the creation, receipt and management of land *records* in the Government of Uganda are summarised below.

The Companies Act, 1961

There are numerous statements throughout the Act that refer to the preparation and submission of documents including, the registering of documents, the annexing of documents to the annual return and so on. The following are some of the more relevant statements.

The Act defines the following terms as:

“Book and paper” and “book or paper” include accounts, deeds, writings and documents;’

“Document” includes summons, notice, order and other legal process and registers;’

Part II – Incorporation of Companies and Matters Incidental Thereto.

5. (1) the memorandum of every company shall be printed in the English language and shall state –

- (a) the name of the company, with “limited” as the last word of the name in the case of a company limited by shares or by guarantee;
- (b) that the registered office of the company is to be situate in Uganda;
- (c) the objects of the company;

(2) and (3) and so on continue to outline the particulars that should be incorporated in the memorandum.

6. (1) The memorandum shall be dated and shall be signed by each subscriber in the presence of at least one attesting witness who shall state his occupation and postal address.

6. (2) Opposite the signature of every subscriber there shall be written in legible roman characters his full name, his occupation and postal address.

Sections 7 – 8 outline how memorandum might be amended.

Sections 9 – 11 outline what Articles of Association should cover. Section 12 describes the printing and signature of articles:

12 Articles shall be –

- (a) in the English language;
- (b) printed;
- (c) divided into paragraphs numbered consecutively; and
- (d) signed by each subscriber to the memorandum of association in the presence of at least one witness, who shall attest the signature and add his occupation and postal address.

Tables B, C, D and E in the First Schedule set out the form of Memorandum and Articles.

Section 17 (1) in effect establishes the certificate of incorporation as a vital record. It states that '[a] certificate of incorporation given by the registrar in respect of any association shall be conclusive evidence that all the requirements of this Act in respect of registration and of matters precedent and incidental thereto have been complied with, and that the association is a company authorized to be registered and duly registered in the Act. [NOTE: these certificates are often missing from the files – it is claimed they fall out.]

22 (1) Subject to the provisions of this Act, the memorandum and articles shall, when registered, bind the company and the members thereof to the same extent as if they respectively had been signed and sealed by each member and contained covenants on the part of each member to observe all the provisions of the memorandum and of the articles.

Section 38 addresses the authentication of documents. It states that '[a] document or proceeding requiring authentication by a company may be signed by a director, secretary, or other authorized officer of the company, and need not be under its common seal.'

Section 104 pertains to the copies of instruments creating charges to be kept by company. It states that '[e]very company shall cause a copy of every instrument creating any charge requiring registration under this Part of the this Act to be kept at the registered office of the company...'

Part XIII – General

393. (1) Any register, index, minute book or book of account required by this Act to be kept by a company may be kept either by making entries in bound books or by recording the matters in question in any other manner.

(2) Where any such register, index, minute book or book of account is not kept by making entries in a bound book, but by some other means, adequate precautions shall be taken for guarding against falsification and facilitating its discovery, and where default is made in complying with this subsection, the company and every officer of the company who is in default shall be liable to a fine not exceeding one thousand shillings and further shall be liable to a default fine.

The Registration of Documents Act, 1922

There are numerous statements throughout the *Act* that refer to the preparation and submission of document, the obtaining of copies and the submission of documents in a court of law. The following are some of the more relevant statements.

Section 5 address how Registration is effected. It states that '[r]egistration shall consist in the filing of a copy (to be furnished by the person presenting the document for registration) of the document brought for registration after such copy has been certified by the Registrar as a true copy.'

The numbering and filing of documents is outlined in section 6. 'The Registrar shall number every copy so filed consecutively and record thereon the date of registration and the name of the person presenting the same and shall file copies in the order in which the documents are received by him.'

Details of the 'Abstract Book' are described in section 8. 'The Registrar shall keep a book in which he shall, upon registration of any document, enter the registered number, the names of the parties, the date and the nature of the document and the date of registration.'

Section 15 of the legislation allows for the Registers to be searched and copies obtained. 'The register may be searched and examined by any applicant during the usual office hours, and certified copies of any registered document or part thereof may be obtained if required, but no document filed in the register shall be permitted to be taken therefrom.'

Finally, section 21 addresses the issue of the preservation of old registers. 'All registers kept under the Uganda Registration of Documents Ordinance, 1904, shall be delivered into the custody of the Registrar under this Act and preserved by him, and shall be open to inspection in the same manner as the register kept under this Act, and a certified copy of any document registered therein may be furnished by the Registrar in the same manner as a certified copy of a document registered under this Act.'

The National Records and Archives Act, 2001

The National Records and Archives Act is '[a]n Act to provide for the rationalised management of all Government and other public records and archives under one single authority, for the preservation, utilisation and disposal⁷ of such records and archives, for the repeal of the Record (Disposal) Act, and for other connected matters.

The Act defines the following terms:

Record means 'recorded information regardless of form or medium created, received and maintained by any institution or individual under its legal obligations or in the transaction of its business and providing evidence of the performance of those obligations or that business.'

Public records means 'records of an official nature belonging to the Republic of Uganda –

- (vi) created, received and maintained in any past, present or future organ of State;
- (vii) created, received and maintained in any past, present or future public corporation or parastatal organisation;

⁷ Disposal refers to either the transfer or destruction of records in accordance to the 'retention and disposal schedule'; this is 'a document describing the recurring records of an institution or and administrative unit of that institution, specifying which records should be preserved permanently as having enduring value as archives and authorising on a continuing basis and after the lapse of prescribed retention periods or the occurrence of specified actions or events, the disposal by destruction or other means of the remaining records.'

- (viii) created, received and maintained in any past, present or future local government;
- (ix) in the custody of the Government Archivist at the time of coming into operation of this Act;
- (x) declared to be public records by the Minister by regulations under section 31 of this act.’⁸

Current records are ‘records regularly used for the conduct of the current business of an institution or individual.’

Semi-current records are ‘records required only infrequently for the conduct of current business and for the purposes of this Act, files or other assemblies of records on which no action has been recorded for five years shall be regarded as semi-current records.’

Archives are ‘records of enduring value selected for permanent preservation.’

Registry means ‘the place where current records are managed or maintained.’

The Act provides the establishment and functions of a National Records and Archives Agency (Section 4). The functions of the Agency are (Section 5) –

- (a) to ensure that organs of State⁹ follow good practices in managing public records containing information in all media or formats, including those in electronic form;
- (b) to establish records centres for the maintenance and provision of official access to semi-current records, one of which records centres shall meet minimum standards for housing classified documents up to and including secret level;
- (c) to establish and implement procedures for the timely disposal of public records of no continuing value and for the transfer of public archives for preservation in the National Archives, in any other archival repository under the control of the Director [Head of the National Records and Archives Agency] or in a place of deposit established under section 16 of this Act;
- (d) to preserve and make available for consultation, public archives selected for preservation in the National Archives or in any other archival repository under the control of the Director.

Section 7 sets down the responsibilities of the creators of public records for their proper management. It states that the Heads of organs of State shall be responsible for creating and maintaining adequate documentation of the functions and activities of their respective institutions through the establishment of good records keeping practices, including –

- (a) the nomination of a senior officer in each organ of State to superintend the action taken there in respect of this Act;
- (b) the creation and management of current records within appropriate registry systems;
- (c) the implementation of retention and disposal schedules issued in accordance with section 11 (d) and (e) of this Act;
- (d) the transfer of semi-current records into the custody of the Director, except insofar as they may remain classified as secret or top secret on grounds of –

⁸ Section 31 states that ‘The Minister may and on the advice of the Advisory Committee make regulations for giving full effect to the provisions of this Act.’

⁹ Organs of State are defined as ‘any institution, body or office established by or under the Constitution.’

- (i) national security;
- (ii) maintenance of public order; or
- (iii) safeguarding the revenue.

Section 8 goes on to state that ‘Heads of organs of State shall be responsible for co-operation with the Director in the management of semi-current records and in particular for –

- (a) maintaining the integrity of all semi-current records returned temporarily under section 12(b) of this Act;
- (b) approving access, other than by authorised personnel of the Authority and of the organ of State which created them or its successor in function, or as provided for in section 16(1) of this Act, to semi-current records in the custody of the Director;
- (c) maintaining semi-current records whose transfer has been deferred under section 7(d) of this Act in conditions comparable to those provided by the Director in records centres under his or her control;
- (d) implementing retention and disposal schedules relating to semi-current records whose transfer has been deferred under section 7(d) of this Act and transferring records of enduring value into the custody of the Director or to any other place of deposit appointed under section 16 of this Act, not later than twenty years from their creation, except insofar as further deferment of transfer for a specified period may have been approved by regulations made under section 31 of this Act.

Part IV sets down the responsibilities of the Director for the coordination of records management work in the organs of State, with powers of inspection, and in particular for –

- (a) providing professional assistance, advice and guidance on the establishment and management of records systems;
- (b) establishing and ensuring compliance with standards for the management of public records;
- (c) making arrangements for the necessary training of records staff in organs of State;
- (d) drawing up general retention and disposal schedules for approval and issue by the Minister on the advice of the Advisory Committee, which schedules shall be sufficient authority for taking the action specified at the due date;
- (e) agreeing with the heads of organs of State retention and disposal schedules relating to records specific to each such organ of State for approval and issue by the Minister, which schedules shall be sufficient authority for taking the action specified at the due date;
- (f) ensuring the provisions of retention and disposal schedules are implemented;
- (g) authorising the disposal of public records other than as provided for by retention and disposal schedules.

Section 12 goes on to outline issues regarding the Director’s accepting custody of semi-current records which have been scheduled for further retention.

Part V of the Act pertains to local government records and access to archives. Section 15(1) states that ‘[s]ubject to the provisions of this section, the Chief Executive of each Local Government shall be responsible for the management of current records created, received and maintained by that local government in accordance with section 7 of this Act.’ Part V goes on to describe further the responsibilities of Local Government with respect to the management of records.

The Evidence Act

The Act defines a document as ‘any matter expressed or described upon any substance by means of letters, figures or marks, or by more than one of those means, intended to be used, or which may be used, for the purpose of recording that matter.’ Documentary evidence means ‘all documents produced for the inspection of the court.’

Section 33 states that ‘[a]n entry in any public or other official book, register or record, stating a fact in issue or relevant fact, and made by a public servant in the discharge of his official duty or by any other person in performance of a duty specially enjoined by the law of the country in which such book, register or record is kept, is itself a relevant fact. Furthermore, section 34 goes on to state that ‘[s]tatements of facts in issue or relevant facts, made in published maps or charts generally offered for public sale or in maps or plans made under the authority of the Government, as to matters usually represented or state in such maps, charts or plans, are themselves relevant facts.

Sections 59 through 71 refer to the issue of documentary evidence. Primary evidence as defined in sections 59 and 60 refers to, in effect, the originals. Copies as described in section 61 generally constitute secondary evidence.

Sections 72 through 76 pertain to those documents that are public documents. Section 72 defines public documents as:

- (a) documents forming the acts or records of the acts –
 - i. of the sovereign authority;
 - ii. of official bodies and tribunals; and
 - iii. of public officers, legislative, judicial and executive,

whether of Uganda, or of any other part of the Commonwealth, or of the Republic of Ireland, or of a foreign country;

- (b) public records kept in Uganda of private documents.

Sections 77 through 89 address the issue of the legal admissibility of documents. There does not appear to be any provision for the legal admissibility of electronic (ie digital) records.

APPENDIX C

Registrar General's Department, Company Registry *Analysis of Document Flows: Registering a Company*

Company Registry, Registrar General's Department

Procedures	Records	Documentation Controls
1.1 Owner writes a letter to the Register of Companies to request to use a name for the company and brings in the original plus two (2) or more copies into the Company Registry.	<ul style="list-style-type: none"> Original + 2 copies minimally of the request letter 	
1.2 Registry clerk stamps the document and searches for ¹⁰ and writes any company names similar or close to the name requested (eg all company names beginning with 'Va') on the documents.	<ul style="list-style-type: none"> Original + 2 copies minimally of the request letter 	<ul style="list-style-type: none"> Registry clerk stamp: clerk signature and date and indicates no similar names.
1.3 Registry clerk refers the letter and copies to a State Attorney for approval	<ul style="list-style-type: none"> Original + 2 copies minimally of the request letter 	<ul style="list-style-type: none"> State Attorney's signature and 'approved' written on documents
1.4 Original and copies returned to registry, registry clerk files the letter in a lever arch file (ie Reservation Book).	<ul style="list-style-type: none"> Owner's copies Registry copy 	
1.5 Owner collects copy of approved request letter and compiles and submits two copies of a Memorandum and Articles of Association and associated forms, which are purchased from the Uganda Book Shop.	<ul style="list-style-type: none"> 2 copies (minimally) of the Memorandum and Articles of Agreement A1/Statement of Nominal Capital A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company 	
1.6 Registry clerk received documents (although receipt is not recorded anywhere) and directly refers them to a State Attorney who assesses the documents and assigns a fee.	<ul style="list-style-type: none"> 2 copies (minimally) of the Memorandum and Articles of Agreement A1/Statement of Nominal Capital A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company 	<ul style="list-style-type: none"> Documents signed by the State Attorney and the fee amount is handwritten on the documents.

¹⁰ Clerks first search the company registry database and then the index cards.

1.7 State Attorney or messenger returns documents to the registry for collection by owner.	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company 	
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Cash Office, Ministry of Justice

2.1 Cash office takes payment and stamps the document/s.	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company 	<ul style="list-style-type: none"> • date stamp with received date, receipt number, date, signature of cashier
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Company Registry, Registrar General's Department

3.1 Owner re-submits documents to the registry and the registry clerk records the details of the documents in the Company Register and records company number on documents	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company • Company Register 	<ul style="list-style-type: none"> • Details recorded in the Company Register: date received, name of company, sequential company number • Company number and date handwritten on Memorandum and Articles of agreement, but not on A1 or A2 forms.
3.2 Registry clerk stamps documents	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company 	<ul style="list-style-type: none"> • Filing stamp: date of registration, filing fee, receipt number, date entered in register

3.3 Documents sent to secretary to type Certificate of Incorporation and index card	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company • Certificate of Incorporation: 1 owner copy, 1 registry copy • Index card 	<ul style="list-style-type: none"> • Certificate of Incorporation records the company number, company name and date • Index card records the company name and company number
3.4 Documents forwarded to State Attorney for approval	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company • Certificate of Incorporation: 1 owner copy, 1 registry copy • Index card 	<ul style="list-style-type: none"> • Signature • <i>NOTE: movement of documents not tracked</i>
3.5 State Attorney returns documents to the registry and registry clerk keeps owner's copies on desk in a tray for collection.	<ul style="list-style-type: none"> • 2 copies (minimally) of the Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company • Certificate of Incorporation: 1 owner copy, 1 registry copy 	
3.6 registry clerk files registry copy according to date and files index card ¹¹	<ul style="list-style-type: none"> • Memorandum and Articles of Agreement • A1/Statement of Nominal Capital • A2/Declaration of Compliance with the Requirements of the Companies Act, on Application for Registration of a Company • Certificate of Incorporation: 1 registry copy • Index card 	

¹¹ At present, there is no space left to file the registry cards so they are kept at random in a desk drawer.

APPENDIX D

Registrar General's Department, Document Registry *Analysis of Document Flows: Registering a Document*

Document Registry, Registrar General's Department

Procedures	Records	Documentation Controls
1.1 Owner submits a minimum of two (2) copies of their documents to the registry clerk who refers the documents to the State Attorney for assessment.	<ul style="list-style-type: none"> 2 copies (minimally) of documents (eg power of attorney, small business agreements and so on) 	<ul style="list-style-type: none"> State Attorney signs and writes the amount to be paid for registering the document/s on the documents themselves.

Cash Office, Ministry of Justice

2.1 Cash office takes payment and stamps the document/s.	<ul style="list-style-type: none"> 2 copies (minimally) of documents 	<ul style="list-style-type: none"> date stamp with received date, receipt number, date, signature of cashier
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Document Registry, Registrar General's Department

3.1 Owner submits documents for registration and registry clerk enters details in the Documents Register	<ul style="list-style-type: none"> 2 copies (minimally) of documents Documents Register 	<ul style="list-style-type: none"> Register assigns the next available document (instrument) number (eg 1111/2001), details/particulars of document, date document is written on by registry, document type (eg power of attorney, agreement, etc), date of filing.
3.2 Registry clerk stamps documents and walks them over to one of the State Attorney's offices for signature	<ul style="list-style-type: none"> 2 copies (minimally) of documents 	<ul style="list-style-type: none"> document (instrument) number is recorded on the stamp NOTE: the movement of the documents is not recorded.
3.3 State Attorney signs and returns the documents the same day (Registry closes at 16:00, if documents submitted afterwards, they wait until the next day)	<ul style="list-style-type: none"> 2 copies (minimally) of documents 	<ul style="list-style-type: none"> signature of State Attorney
3.4 Registry clerk keeps the owner's copy in a tray on his/her desk until it is collected; the registry copy is compiled according to document number and filed in a lever arch file.	<ul style="list-style-type: none"> Owner's copy/ies Registry copy 	

APPENDIX E

Automating the Index

It is recommended that an automated index be created and a printout produced regularly as a back up. The index should be based on the company registration file number, using the Registers as the basis for data entry. A similar index should be based on the document number, again found in the Registers.

The Registrar General's Office is moving toward computerizing its workflow. However it is too early to anticipate what system will be implemented. There are a significant number of good workflow products on the market; this report is not advocating any particular option. Options for automating the index should take account of compatibility as far as possible.

There are two options for automating the index. The first is to purchase TRIM Enterprise[®] from Tower Software[®]. The second is to develop a bespoke database using either Microsoft Access or Microsoft SQL Server with a Microsoft Access front-end. Access has a 250,000 record limit. If the database might exceed 250,000 records, a relational database management system (RDBMS) will be required, such as Microsoft SQL Server.¹²

TRIM[®] is a commonly used records management software package that facilitates the capture, registration, access and retrieval of information. For the purpose of the index it is recommended that the TRIM license be configured to include TRIM Enterprise[®] only, and that two 'seats' (ie 2 PCs) be purchased. The total license cost for 2 seats is US \$6,200. An annual maintenance fee of US\$930 should be added, making the total cost for the first year US\$7,130, with a recurring cost of approximately US\$930 for annual maintenance. An agreement will have to be made that the Registrar General's Office is capable of sustaining the cost of maintaining the equipment and software. TRIM is currently being deployed to 60 Local Government sites in Uganda, which secures its presence in the country. ComputerLand, TOWER Software's Distributor in East Africa, is based Kampala. TRIM meets the USA Department of Defense Records Management Applications Standard 5015.2 (<http://jtc.fhu.disa.mil/recmgt/#standard>) and is used in several US Government Departments.

Microsoft Access is also a standard application and costs US\$580/license (if purchased as part of Microsoft Office Professional Suite – Access alone cost US\$340) and Microsoft SQL Server 2000 Standard Edition costs US\$5000 for one PC. The cost of developing the database in Access or Microsoft SQL must also be considered, as well as the time required to develop, test and install the index.

The Uganda Computer Services (UCS) provides computing support to government and is located organizationally (for historical reasons) within the Ministry of Finance. Staff of the UCS have the capacity to develop an Access database or Microsoft SQL database with an Access front-end as required. Their services can be procured by writing to the Permanent Secretary to the Treasury, Ministry of Finance. The letter would need to inform the PS of the

¹² All commercial RDBMS' can import Access tables. In addition to Microsoft SQL Server, major RDBMS' include Oracle, IBM's DB2, and Informix.

job required and the time frame involved. Fees to develop the database can be negotiated with the Commissioner for UCS, Ms Helen Anokbouggo. It was estimated that it would take approximately 2 months to develop, test and install the database.

It is recommended that first consideration be given to TRIM as the software for automating the database. TRIM is an off-the-shelf package that can be customized relatively easily to the needs of the Company and Documents Registries. The local TRIM representatives (ComputerLand) would need to do a more comprehensive user analysis before committing to a specific time frame for customizing the index. However, this consultant estimates that this could be achieved in 6-8 weeks. ComputerLand can provide can provide training and support for TRIM software in Kampala.

APPENDIX F

REGISTRAR GENERAL'S OFFICE
REGISTRY

Number pages serially at top outer corner.

FILE NO.**NAME****NUMBER**

To	Page	Date	To	Page	Date	To	Page	Date
						Authority to Send File to Record Room		
						Signature of Authorising Officer		Date

APPENDIX G

Work Plan GANTT Chart

(See accompanying computer files 'Company-Docs Registry Appendix G.pdf' and Company-Docs Registry Flow Chart Appendix G.pdf)

Specific dates are not ascribed to the project plan. It is assumed that the USAID/SPEED project will determine when the program will begin. As a result, it is important to note that the following Project GANTT chart does not take account of public holidays.

The refurbishment, cleaning and equipping of the new facility is a key deliverable. It lays the groundwork for other activities. However, it is dependent upon the procurement of goods and equipment required.

This work program does not incorporate project management or logistics. It is assumed that these will be the responsibility of Chemonics and will be incorporated into the SPEED project planning process.

APPENDIX H

Commodities for the Company and Documents Registry

This is not a budget. A list of supplies required to rehabilitate the Company and Documents Registries is listed following the outstanding issues described below. Quotes were requested from a number of potential suppliers in Kampala (see Appendix A). Quality varies widely if purchased locally. Alternative suppliers and prices are recommended where available. Some items, such as boxes and file folders will be bulky. Warehouse space for storage may be required.

Software Application

The cost of the software application and training are not included as the recommendation needs to be agreed. Prices are discussed further in Appendix E.

Security Safe

A fire-proof security safe ought to be either identified in the building or purchased. The safe is required to store securely the backups of the index database. A fireproof safe can cost between US\$200-500 depending upon the model selected. It is likely that, if required, this can be purchased locally.

Shelving

The cost of shelving can be provided once a decision is taken about whether processing will occur well in advance of the Registrar General's Office relocating. To facilitate budget estimations, GM Tumpeco, Ltd (a local Kampala company) quoted Ush 401,000/bay (US\$231) for a 3.5'x15"x85" unit. The price might reduce depending upon volume purchased.. It is recommended however, that a UK company, Link 51, be used as GM Tumpeco will likely struggle to fulfill the volume required over time. The units provided by GM Tumpeco are bespoke and have to be built one by one, it is not a stock item. Link 51 is a major shelving company with an international department that can advise on shipping options and provide installation. The shelves are standard static rolled edge shelving with adjustable shelves and constructed of steel with a baked enamel finish. For the purpose of obtaining an idea of price, a standard 3'x15"x87" shelf unit costs approximately US\$150/bay. The equivalent US company is Spacesaver, but this company failed to respond to enquiries.

Printing and Publishing

The cost of producing training materials, procedure posters and the manual is also not quoted. It is impossible to know at this time what the size of these documents will be and therefore obtain a quotation.

Staffing

Records and Information Management Department, Ministry of Public Service;	A discussion should take place to address whether any compensation is required for seconding staff members' time.
Casual workers:	Ush 21,000/day: 16,000 fee + 4,000 for food + 1000 for transport. The average government fee rate is 14,285/day (not including food and transport). It was suggested that payment ought to be slightly higher to attract the better casual workers. The number of workers that can be hired will depend upon the availability of space to process the records. Minimally 4 casual workers should be hired if space can be found to accommodate them. The office provided for SPEED consultants could used if permission were obtained.
Registry Staff Incentives:	Ush 4000 – 5000/day for each day spent working on the file processing (this will be approximately 1 Company Registry staff member and 1 Document Registry staff member per day)

Miscellaneous un-costed items

It is recommended that the following items should also be procured. Given their ready availability in Kampala, these have not been individually costed:

- Insecticide/vermin control (eg roach traps, insect poison, mouse traps etc)
- Writing instruments (wide permanent black markers, pens, pencils, erasers etc)
- Cleaning materials (dusters, broom, brushes, hand towels, etc).

A moving van will need to be arranged to transfer records to the new facility when the time comes.

ITEM	SUPPLIER	REMARKS	UNIT COST	QUANTITY	TOTAL COST LOCAL CURRENCY	TOTAL COST US\$
Computer/monitor/keyboard/cables/tape drive	MFI Office Solutions	Excluding 17% VAT + shipping	US\$ 1295	2	N/A	2950
Computer desktop security system	Guernsey	See catalogues numbers KMW-64162 and KMW-64163 for examples	US\$50/each	2	N/A	100
HP 1200 Laser Jet Printer	MFI Office Solutions	Excluding 17% VAT + shipping	US\$ 595	2	N/A	1190
Laser Jet Printer Cartridges	MFI Office Solutions	Excluding 17% VAT + shipping	US\$115	4	NA	460
UPS with surge protector	MFI Office Solutions	Excluding 17% VAT + shipping	US\$ 285	2	N/A	570
Extension cords with surge protector	Viking	Excluding VAT – UK price for illustrative purposes. Assume source locally	UK £10	2	£20	30
Backup ¼ inch data cartridges	Viking	Excluding VAT - UK price for illustrative purposes.	UK£10 for a pack of 5.	30	£300	420
File Folders	Uganda Printing and Publishing Corporation	Quoted on basis of an order of 83,000 Excludes VAT and	Ush 1120	83,000	Ush 92,960,000	53,734 ¹³

¹³ It is likely that a US supplier can be sought who can print 83,000 Foolscap size file covers with a plastic integral three-part clip. However, it is important to note that a leading supplier in the UK has opted to forgo submitting a quotation because their current obligations will not allow them to devote minimally 4 months to produce an order of this volume. It is advised that the Chemonics purchasing unit locate a US supplier as the quality of paper that UPPC is able to procure is likely to weaken on the fold. A sample should be obtained from a US printer for approval by the consultant.

	Corporation	delivery				
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ITEM	SUPPLIER	REMARKS	UNIT COST	QUANTITY	TOTAL COST LOCAL CURRENCY	TOTAL COST US\$
Archival Tying Tape	Conservation by Design Ltd	Prices excluding VAT and delivery	UK £116.50 for pack of 40	1	£116.5	175
Storage boxes	Similar to Fellowes Bankers Box Storage Boses (Quick/Stor) found in the Guernsey catalogue. It is critical, however to ensure that these storage boxes can accommodate foolscap size files. If US suppliers are not able to obtain correct size boxes, a UK supplier can be recommended.		N/A	300		Will vary
Mailroom trolley	Guernsey	AMC-SN39800 for an example	US\$250	1	N/A	250
Heavy duty plastic garbage bags	Viking	Excluding VAT UK price for illustrative purposes. Assume will source locally	UK£31.50 for box of 100	20	£630	882
Dust masks	Amrat Ltd	Excluding VAT and delivery	Ush 25,000	20	Ush 500000	290
Warehouse coats	Amrat Ltd		Ush 39,000	24	936000	541

SUPPLIER LIST

Amrat Limited
Kampala Road
PO Box 7437
Kampala
Uganda
Tel/fax: 344754

ComputerLand (U) Ltd
Plot 7
Poral Avenue
PO Box 24412
Kampala
Uganda
Tel. 348043/4
Fax: 348042
kmawji@starcom.co.ug

Conservation by Design Ltd
Timecare Works
5 Singer Way
Woburn Road Industrial Estate
Kempston
Bedford MK42 7AW
United Kingdom
Tel: + 44 (0)1234 853555
Fax: +44 (0) 1234 852334
<http://www.conservation-by-design.co.uk>

Conservation Resources LCC
8000-H Forbes Place
Springfield
VA 22151
USA
Tel: 800 634 6932
Fax: 703 321 0629

GM Tumpeco Ltd
Plot M224 Ntinda Road
PO Box 5571
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Tel: 285851/838
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Email: mfikampala@mfios.com

Uganda Printing and Publishing
Corporation
Airport Road
PO Box 33
Entebbe
Uganda
Tel: 041-320639, 320654
Fax: 041 320530

Viking Direct
Bursom Industrial Park
Tollwell Road
Leicester LE4 1BR
United Kingdom
Tel: 0800 424444
Fax: 0800 622211